

JS-6

**UNITED STATES DISTRICT COURT  
CENTRAL DISTRICT OF CALIFORNIA**

SECURITIES AND EXCHANGE  
COMMISSION,

Plaintiff,

vs.

SERGIO DAMIAN LOPEZ,

Defendant.

Case No. 2:25-cv-04795 CAS (AJRx)

**FINAL JUDGMENT**

The Securities and Exchange Commission having filed a Complaint and Defendant Sergio Damian Lopez (“Defendant”) having entered a general appearance; consented to the Court’s jurisdiction over Defendant and the subject matter of this action; consented to entry of this Final Judgment without admitting or denying the allegations of the Complaint (except as to jurisdiction and except as otherwise provided herein in paragraph VIII); waived findings of fact and conclusions of law; and waived any right to appeal from this Final Judgment:

I.

IT IS ORDERED, ADJUDGED, AND DECREED that Defendant is permanently restrained and enjoined from violating, directly or indirectly, Section 10(b) of the Securities Exchange Act of 1934 (the “Exchange Act”) [15 U.S.C.

§ 78j(b)] and Exchange Act Rule 10b-5 [17 C.F.R. § 240.10b-5], by using any means or instrumentality of interstate commerce, or of the mails, or of any facility of any national securities exchange, in connection with the purchase or sale of any security:

- (a) to employ any device, scheme, or artifice to defraud;
- (b) to make any untrue statement of a material fact, or to omit to state a material fact necessary in order to make the statements made, in the light of the circumstances under which they were made, not misleading, or
- (c) to engage in any act, practice, or course of business which operates or would operate as a fraud or deceit upon any person

by, directly or indirectly, (i) creating a false appearance or otherwise deceiving any person about the price or trading market for any security, or (ii) making any false or misleading statement, or disseminating any false or misleading documents, materials, or information, concerning matters relating to a decision by an investor or prospective investor to buy or sell securities of any company.

IT IS FURTHER ORDERED, Adjudged, And Decreed that, as provided in Federal Rule of Civil Procedure 65(d)(2), the foregoing paragraph also binds the following who receive actual notice of this Final Judgment by personal service or otherwise: (a) Defendant's officers, agents, servants, employees, and attorneys; and (b) other persons in active concert or participation with Defendant or with anyone described in (a).

## II.

IT IS HEREBY FURTHER ORDERED, ADJUDGED, AND DECREED that Defendant is permanently restrained and enjoined from violating Section 17(a) of the Securities Act of 1933 (the "Securities Act") [15 U.S.C. § 77q(a)] in the offer or sale of any security by the use of any means or instruments of transportation or communication in interstate commerce or by use of the mails, directly or indirectly:

- (a) to employ any device, scheme, or artifice to defraud;

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1 (b) to obtain money or property by means of any untrue statement of a  
2 material fact or any omission of a material fact necessary in order to  
3 make the statements made, in light of the circumstances under which  
4 they were made, not misleading; or

5 (c) to engage in any transaction, practice, or course of business which  
6 operates or would operate as a fraud or deceit upon the purchaser.

7 by, directly or indirectly, (i) creating a false appearance or otherwise deceiving any  
8 person about the price or trading market for any security, or (ii) making any false or  
9 misleading statement, or disseminating any false or misleading documents, materials,  
10 or information, concerning matters relating to a decision by an investor or prospective  
11 investor to buy or sell securities of any company.

12 IT IS FURTHER ORDERED, Adjudged, And Decreed that, as provided in  
13 Federal Rule of Civil Procedure 65(d)(2), the foregoing paragraph also binds the  
14 following who receive actual notice of this Final Judgment by personal service or  
15 otherwise: (a) Defendant's officers, agents, servants, employees, and attorneys; and  
16 (b) other persons in active concert or participation with Defendant or with anyone  
17 described in (a). Defendant Sergio Damian Lopez ("Defendant") waives service of a  
18 summons and the complaint in this action, enters a general appearance, and admits  
19 the Court's jurisdiction over Defendant and over the subject matter of this action.

20 III.

21 IT IS FURTHER ORDERED, ADJUDGED, AND DECREED that Defendant  
22 is permanently restrained and enjoined from violating Section 17(b) of the Securities  
23 Act [15 U.S.C. § 77q(b)] by the use of any means or instruments of transportation or  
24 communication in interstate commerce or by the use of the mails, to publish, give  
25 publicity to, or circulate any notice, circular, advertisement, newspaper, article, letter,  
26 investment service, or communication which, though not purporting to offer a  
27 security for sale, describes such security for a consideration received or to be  
28 received, directly or indirectly, from an issuer, underwriter, or dealer, without fully

1 disclosing the receipt, whether past or prospective, of such consideration in the  
2 amount thereof.

3 IT IS FURTHER ORDERED, ADJUDGED, AND DECREED that, as  
4 provided in Federal Rule of Civil Procedure 65(d)(2), the foregoing paragraph also  
5 binds the following who receive actual notice of this Final Judgment by personal  
6 service or otherwise: (a) Defendant's officers, agents, servants, employees, and  
7 attorneys; and (b) other persons in active concert or participation with Defendant or  
8 with anyone described in (a).

9 IV.

10 IT IS FURTHER ORDERED, ADJUDGED, AND DECREED that pursuant to  
11 Sections 21(d)(1) and 21(d)(5) of the Exchange Act [15 U.S.C. §§ 78u(d)(1), (5)] and  
12 Section 20(b) of the Securities Act [15 U.S.C. § 77t(b)] Defendant is permanently  
13 restrained and enjoined from promoting any issuer of any security, causing the  
14 promotion of any issuer of any security, or deriving compensation from the  
15 promotion of any issuer of any security unless a knowledgeable U.S. securities  
16 lawyer who is not an affiliate of Lopez or the issuer, reviews the arrangement and  
17 affirms in writing that the arrangement is consistent with applicable U.S. federal  
18 securities laws and regulations; for purposes of this injunction, "promoting" or  
19 "promotion" means, for direct or indirect compensation or pecuniary benefit, directly  
20 or indirectly, engaging in, publishing, giving publicity to, or circulating any  
21 communication, the goal of which is to generate interest among or from U.S.  
22 investors in any security; provided, however, that such injunction shall not prevent  
23 Lopez from purchasing or selling securities unless part of a promotion as described  
24 herein.

25 V.

26 IT IS FURTHER ORDERED, ADJUDGED, AND DECREED that, pursuant  
27 to Section 21(d)(2) of the Exchange Act [15 U.S.C. § 78u(d)(2)] and Section 20(e) of  
28 the Securities Act [15 U.S.C. § 77t(e)], Defendant is prohibited, for three years

1 following the date of entry of this Final Judgment, from acting as an officer or  
2 director of any issuer that has a class of securities registered pursuant to Section 12 of  
3 the Exchange Act [15 U.S.C. § 78l] or that is required to file reports pursuant to  
4 Section 15(d) of the Exchange Act [15 U.S.C. § 78o(d)].

5 VI.

6 IT IS HEREBY FURTHER ORDERED, ADJUDGED, AND DECREED that  
7 Defendant is liable for disgorgement of \$200,000, representing net profits gained as a  
8 result of the conduct alleged in the Complaint, together with prejudgment interest  
9 thereon in the amount of \$8,124.59, and a civil penalty in the amount of \$115,231 in  
10 accordance with Securities Act Section 20(d), 15 U.S.C. § 77t(d). Defendant shall  
11 satisfy this obligation by paying \$323,355.59 to the Securities and Exchange  
12 Commission within 30 days after entry of this Final Judgment.

13 Defendant may transmit payment electronically to the Commission, which will  
14 provide detailed ACH transfer/Fedwire instructions upon request. Payment may also  
15 be made directly from a bank account via Pay.gov through the SEC website at  
16 <http://www.sec.gov/about/offices/ofm.htm>. Defendant may also pay by certified  
17 check, bank cashier's check, or United States postal money order payable to the  
18 Securities and Exchange Commission, which shall be delivered or mailed to

19 Enterprise Services Center

20 Accounts Receivable Branch

21 6500 South MacArthur Boulevard

22 Oklahoma City, OK 73169

23 and shall be accompanied by a letter identifying the case title, civil action number,  
24 and name of this Court; Sergio Damian Lopez as the defendant in this action; and  
25 specifying that payment is made pursuant to this Final Judgment.

26 Defendant shall simultaneously transmit photocopies of evidence of payment  
27 and case identifying information to the Commission's counsel in this action. By

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1 making this payment, Defendant relinquishes all legal and equitable right, title, and  
2 interest in such funds and no part of the funds shall be returned to Defendant.

3 The Commission may enforce the Court's judgment for disgorgement and  
4 prejudgment interest by using all collection procedures authorized by law, including,  
5 but not limited to, moving for civil contempt at any time after 30 days following entry  
6 of this Final Judgment.

7 The Commission may enforce the Court's judgment for penalties by the use of  
8 all collection procedures authorized by law, including the Federal Debt Collection  
9 Procedures Act, 28 U.S.C. § 3001 et seq., and moving for civil contempt for the  
10 violation of any Court orders issued in this action. Defendant shall pay post judgment  
11 interest on any amounts due after 30 days of the entry of this Final Judgment pursuant  
12 to 28 U.S.C. § 1961. The Commission shall hold the funds, together with any interest  
13 and income earned thereon (collectively, the "Fund"), pending further order of the  
14 Court.

15 The Commission may propose a plan to distribute the Fund subject to the  
16 Court's approval. Such a plan may provide that the Fund shall be distributed pursuant  
17 to the Fair Fund provisions of Section 308(a) of the Sarbanes-Oxley Act of 2002. The  
18 Court shall retain jurisdiction over the administration of any distribution of the Fund  
19 and the Fund may only be disbursed pursuant to an Order of the Court.

20 Regardless of whether any such Fair Fund distribution is made, amounts  
21 ordered to be paid as civil penalties pursuant to this Judgment shall be treated as  
22 penalties paid to the government for all purposes, including all tax purposes. To  
23 preserve the deterrent effect of the civil penalty, Defendant shall not, after offset or  
24 reduction of any award of compensatory damages in any Related Investor Action  
25 based on Defendant's payment of disgorgement in this action, argue that he is entitled  
26 to, nor shall he further benefit by, offset or reduction of such compensatory damages  
27 award by the amount of any part of Defendant's payment of a civil penalty in this  
28 action ("Penalty Offset"). If the court in any Related Investor Action grants such a

1 Penalty Offset, Defendant shall, within 30 days after entry of a final order granting  
2 the Penalty Offset, notify the Commission's counsel in this action and pay the amount  
3 of the Penalty Offset to the United States Treasury or to a Fair Fund, as the  
4 Commission directs. Such a payment shall not be deemed an additional civil penalty  
5 and shall not be deemed to change the amount of the civil penalty imposed in this  
6 Judgment. For purposes of this paragraph, a "Related Investor Action" means a  
7 private damages action brought against Defendant by or on behalf of one or more  
8 investors based on substantially the same facts as alleged in the Complaint in this  
9 action.

10 VII.

11 IT IS FURTHER ORDERED, ADJUDGED, AND DECREED that the  
12 Consent is incorporated herein with the same force and effect as if fully set forth  
13 herein, and that Defendant shall comply with all of the undertakings and agreements  
14 set forth therein.

15 VIII.

16 IT IS FURTHER ORDERED, ADJUDGED, AND DECREED that, solely for  
17 purposes of exceptions to discharge set forth in Section 523 of the Bankruptcy Code,  
18 11 U.S.C. §523, the allegations in the complaint are true and admitted by Defendant,  
19 and further, any debt for disgorgement, prejudgment interest, civil penalty or other  
20 amounts due by Defendant under this Judgment or any other judgment, order, consent  
21 order, decree or settlement agreement entered in connection with this proceeding, is a  
22 debt for the violation by Defendant of the federal securities laws or any regulation or  
23 order issued under such laws, as set forth in Section 523(a)(19) of the Bankruptcy  
24 Code, 11 U.S.C. §523(a)(19).

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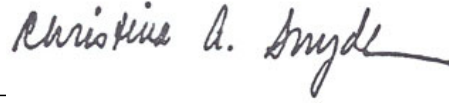
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IX.

IT IS FURTHER ORDERED, ADJUDGED, AND DECREED that this Court shall retain jurisdiction of this matter for the purposes of enforcing the terms of this Judgment.

Dated: June 12, 2025



HONORABLE CHRISTINA A. SNYDER  
UNITED STATES DISTRICT JUDGE